

<b>Report to:</b>	Audit and Governance Committee	<b>Date of Meeting:</b>	27 June 2018
<b>Subject:</b>	Risk and Audit Service: Performance Report		
<b>Report of:</b>	Chief Internal Auditor	<b>Wards Affected:</b>	All Wards
<b>Cabinet Portfolio:</b>	Regulatory, Compliance and Corporate Services		
<b>Is this a Key Decision:</b>	No	<b>Included in Forward Plan:</b>	No
<b>Exempt / Confidential Report:</b>	No		

**Summary:**

This report details the performance and key activities of the Risk and Audit Service for the period 6 March to 13 June 2018.

**Recommendation(s):**

Members are requested to:

- (i) Note the progress in the delivery of the 2017/18 and 2018/19 Internal Audit Plans and the activity undertaken for the period 6 March to 13 June 2018.
- (ii) Note the contributions made by the Health and Safety, Insurance and Risk and Resilience teams in managing the Council's key risks.

**Reasons for the Recommendation(s):**

Approval of the recommendations will facilitate the continued provision of a comprehensive and effective Risk and Audit Service.

**Alternative Options Considered and Rejected:** (including any Risk Implications)

None

**What will it cost and how will it be financed?**

**(A) Revenue Costs**

There are no direct financial implications arising from this report. However, the Council benefits from the work of the section in reducing the impact and likelihood (and so the cost) of risk.

**(B) Capital Costs**

There are no capital costs arising from this report.

**Implications of the Proposals:**

The following implications of this proposal have been considered and where there are specific implications, these are set out below:

<b>Resource Implications (Financial, IT, Staffing and Assets):</b> None
<b>Legal Implications:</b> None
<b>Equality Implications:</b> There are no equality implications.

**Contribution to the Council’s Core Purpose:** The Council’s Risk and Audit Service is a key enabler to the delivery of the Council’s Core Purpose as set out below

Protect the most vulnerable: Positive
Facilitate confident and resilient communities: Positive
Commission, broker and provide core services: Positive
Place – leadership and influencer: Positive
Drivers of change and reform: Positive
Facilitate sustainable economic prosperity: Positive
Greater income for social investment: Positive
Cleaner Greener: Positive

**What consultations have taken place on the proposals and when?****(A) Internal Consultations**

The Head of Corporate Resources (FD5178/18) and Head of Regulation and Compliance (LD4402/18) have been consulted and any comments have been incorporated into the report.

**(B) External Consultations**

None

**Implementation Date for the Decision**

Immediately following the Committee meeting

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## **Appendices:**

The following appendices are attached to this report:

- Risk and Audit Service Performance Report

## **Background Papers:**

Internal Audit Plan 2017/18 (as approved by this Committee on 22 March 2017) and Internal Audit Plan 2018/19 (as approved by this Committee on 23 March 2018)

### **1. Introduction**

1.1 The Risk and Audit Service is managed by the Chief Internal Auditor, who reports to the Head of Corporate Resources.

1.2 The mission of the service is “to deliver a first class risk and audit service that is highly respected and valued by Sefton and is the envy of our peers”.

1.3 The Service has the following objectives:

- To lead the Council in embedding a system of internal control and risk management that facilitates the achievement of the organisation’s objectives.
- To be a valued corporate influence in promoting the due consideration of risk in Council decisions, strategies and plans.
- To align the service with the Council’s changing needs.

1.4 In delivering this mission and objectives, the Service encapsulates the following teams:

- Internal Audit
- Health and Safety
- Insurance
- Risk and Resilience

1.5 This report summarises the main aspects of the performance of the Service during the period 6 March – 13 June 2018, and gives members a detailed overview of the following areas:

- Internal Audit:
  - work undertaken in the period, including a summary of work and an outline of the high priority recommendations made
  - performance against Key Performance Indicators
  - developments relating to this part of the Service.
- Health and Safety, Insurance and Risk and Resilience:
  - work undertaken in the period, with key data provided
  - developments relating to these parts of the Service.

The report concludes by looking ahead to the forthcoming activities being undertaken by the service.